

***NATIONAL MARINE FISHERIES SERVICE INSTRUCTION 30-101-01  
SEPTEMBER 3, 2004***

***Administration and Management  
Policy Formulation, NMFSPD 30-101***

***NMFS DIRECTIVES SYSTEM - STRUCTURE AND MANAGEMENT***

**NOTICE:** This publication is available at: <http://www.nmfs.noaa.gov/directives/>.

**OPR:** F/P (J.McCallum)  
**Type of Issuance:** Renewal

**Certified by:** F/P (M. Holliday)

***SUMMARY OF REVISIONS:*** (10/05 – to reflect that OP is responsible for PDS)

Signed \_\_\_\_\_  
Mark C. Holliday, Ph.D. Date  
Director, NMFS Office of Policy

**NMFS Directives System - Structure and Management**

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1. Introduction. The National Oceanic and Atmospheric Administration's (NOAA) National Marine Fisheries Service (NMFS) Policy Directive 30-101 establishes the NMFS Policy Directives System (PDS) for official NMFS policy. This instruction describes the PDS structure and management of policy formulation.

2. NMFS Policy Directives System Components. The PDS consists of policy directives, procedural directives, and supplements.

2.1 Policy Directives. Policy directives are orders of the Assistant Administrator (AA) for NMFS. Policy directives initiate and define NMFS activities, as well as establish authorities and responsibilities. Appendix A provides detailed instructions on the format, content, and approval process for policy directives.

2.2 Procedural Directives. Procedural directives implement policy directives. They are issued by NMFS Headquarters and are comprised of instructions and/or manuals. Appendix B provides detailed instructions on the format, content, and approval process for procedural directives.

2.3 Supplements. Supplements adapt procedural directives to address field requirements. The NMFS Regional Offices, Science Centers and field offices may issue supplements. Supplements will not be issued for policy directives. Supplements will not detract from or conflict with procedural directives. Appendix C provides detailed instructions on the format, content, and approval process for supplements.

3. Writing Style and Standardized Terminology. Use the active voice in all directives to convey policy. Keep sentences simple and concise. Use the following terminology to emphasize key policies:

- a. *Will:* The use of "will" indicates a definitive course of action. "Will" is used to convey high-level policy closely related to NMFS' mission.
- b. *Should:* The use of "should" indicates a recommended course of action.
- c. *May:* The use of "may" indicates an optional or permissible practice.

Use of "shall" is not recommended.

4. Punctuation. For punctuation guidance, supplement the Federal Government's official reference manual, the *Government Printing Office Style Manual*, with *The Gregg Reference Manual* and the NMFS Correspondence Handbook.

5. Use of Acronyms. Define an acronym the first time it is used. Place the acronym in parentheses after the word or phrase being defined. For example: the National Marine Fisheries Service (NMFS). Use only the acronym in the remainder of the document.

Series # 01-29	Managing Marine Ecosystems*	Series # 30-99	Administration & Internal Operations**
01	Fisheries Management	30	Administration and Operations
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03	Habitat Conservation and Restoration	32	Information Management
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07	Seafood Inspection	36	Human Resources
08	International Affairs	37	Staffing and Organization
		38	Equal Employment Opportunity
		39	External Communications and Affairs
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**Figure 1. Organization of the PDS into Functional Areas**

6. NOAA Corporate Name. Use the term “NOAA” as a precedent to NMFS the first time NMFS is mentioned in a directive. Spell out “NOAA” as “National Oceanic and Atmospheric Administration” the first time it is used. (See “1. Introduction” of this section for an example.)

7. Organization and Management. The PDS is organized according to major functional areas (see Figure 1). Each functional area is assigned a series number. The PDS Web site ([www.nmfs.noaa.gov/directives](http://www.nmfs.noaa.gov/directives)) is the primary means for accessing directives and supplements. The official signed hard copy of each policy and procedural directive is filed within the Office of Policy (OP). The official hard copy of a supplement is filed at the issuing office.

8. Development, Coordination, and Approval. All policy directives, procedural directives, and supplements will be developed, coordinated, and approved following instructions provided in Appendices A, B, and C. The office responsible for developing and coordinating a PDS component and guiding it through the approval process is known as the Office of Primary Responsibility (OPR).

9. PDS Postings Subscription. PDS users can sign up for a subscription to receive e-mail notices of new postings at the PDS Web site: [www.nmfs.noaa.gov/directives](http://www.nmfs.noaa.gov/directives). All senior leadership will be subscribed automatically to the notification system.

10. Use of Hyperlinks. Be aware when using hyperlinks in directives that any reference from the NMFS Web server to any non-government entity, product, service or information does not constitute an endorsement or recommendation of such by NOAA or any of its field offices or employees. NMFS is not responsible for the contents of any “off-site” Web pages referenced from NMFS servers. A disclaimer indicating this can be found on the bottom of the NMFS and PDS Home pages.

**APPENDIX A - NMFS Policy Directives**

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1. Introduction. NMFS Policy Directives System (PDS) policy directives are concise, highly structured documents. Policy directives define major activity areas of NMFS and associated management authorities and responsibilities. Major activity areas recognize operational functions of NMFS (e.g., fisheries management) or important staff functions assigned to agency personnel (e.g., policy formulation). The signatory or approving authority for policy directives is the Assistant Administrator (AA) for NMFS. (An exception to this is described in section 7.1.)
2. Format. The format instructions in this section will be followed for all policy directives. The format of the parent policy directive (NMFSPD 30-101) to this instruction serves as the guiding example.
  - 2.1 Margins. Set left and right margins to 1 inch. Set bottom margin to 0.6 inch. Set top margin to 1 inch for the banner page and 0.6 inch for every page thereafter.
  - 2.2 Font. Use 12 point Times New Roman font throughout the document.
  - 2.3 Tabs. Tab stops should be set every 0.5 inches from the left margin.
  - 2.4 Headers. Include a header consisting of the PDS number and the directive's effective date. For policy directives, the PDS number consists of "NMFSPD" followed by the series code, a dash, and a number indicating the directive's position within the series. The header text is bold and right justified. Suppress the header on the banner page. Templates for PDS banner pages and headers are located in the Toolkit of the PDS home page at <http://www.nmfs.noaa.gov/directives/toolkit/toolkit.htm>.
  - 2.5 Page Numbering. Set page numbers to appear at the bottom center of each page. Suppress the page number on the first page.
3. Banner Page. The first page of a policy directive consists of a banner with a blue heading followed by document information. The signature block is at the end of the main body of the policy directive. Figure A-1 depicts the banner format. Templates for PDS banner pages and headers are located in the Toolkit of the PDS home page at <http://www.nmfs.noaa.gov/directives/toolkit/toolkit.htm>.

Department of Commerce \$ National Oceanic & Atmospheric Administration \$ National Marine Fisheries Service	
(a.) <b>NATIONAL MARINE FISHERIES SERVICE POLICY DIRECTIVE 30-101</b>	
(b.) <b>SEPTEMBER 3, 2004</b>	
(c.) <b>Administration and</b>	
(d.) <b>POLICY FORMULATION</b>	
(e.) <b>NOTICE:</b> This publication is available at: <a href="http://www.nmfs.noaa.gov/directives/">http://www.nmfs.noaa.gov/directives/</a> .	
(f.) <b>OPR:</b> F/P (A. Gautam)	(h.) <b>Certified by:</b> F/P (M. Holliday)
(g.) <b>Type of Issuance:</b> Initial.	
(i.) <b>SUMMARY OF REVISIONS:</b>	

**Figure A-1. Sample banner format for a policy directive**

Fill in the banner with the directive system information as follows:

- a. **PDS Policy Directive Title and Number** - The title will consist of “NATIONAL MARINE FISHERIES SERVICE POLICY DIRECTIVE” followed by a space and the PDS number. The PDS number will consist of the series number, followed by a dash, and a directive number beginning with 101 and continuing up to 999. For example, the title for the first policy directive in the “30” series is “NATIONAL MARINE FISHERIES SERVICE POLICY DIRECTIVE 30-101” (see Figure A-1).

F/OP assigns policy directive numbers.

- b. **Effective Date** - Leave this blank until the directive is signed. The effective date is normally two weeks (14 calendar days) after the directive is signed by the approving authority (e.g., to allow time for implementation and/or training on a new directive). The effective date is the anniversary date for the directive.

In cases where the OPR desires the directive to become effective later than two weeks after signature, the OPR should include the rationale for the date as part of the background information accompanying the directive. The OPR also should specify the desired effective date in relative terms (i.e., 90 days after the directive is signed).



Mandatory packaging requirements are posted on the PDS Web site in the Toolkit at <http://www.nmfs.noaa.gov/directives/toolkit/toolkit.htm>.

- c. **Series Title** - Title of PDS series where the policy directive is found. Titles are found in Figure 1 in the main body of NMFSI 30-101-01.
  - d. **Subject Title** - Name describing the activity area covered by the policy directive.
  - e. **Notice** - The URL for the location of the document on the NMFS PDS Web site.
  - f. **Office of Primary Responsibility (OPR)** - Routing code for OPR responsible for the directive followed by name of the author in parenthesis (first initial and last name).
  - g. **Type of Issuance** - Term indicating type of most recent issuance. Options are:
    - (1) Initial - first issuance of policy directive under the PDS.
    - (2) Renewal - annual update of the directive, or an unscheduled update issued between annual updates.
  - h. **Certified by** - Name of office director or designee. Use same format as OPR block.
  - i. **Summary of Revisions** - List all documents superseded by the policy directive. Include the full title, issuance number, and date of the documents being superseded. If the directive is a renewal, summarize the major changes made from the previous version of the directive, if any. If an initial issuance of a directive, this section should remain empty.
  - j. **Banner Color** - Use the 20 percent fill setting and the standard blue color for banner table cells containing (a) through (d).
4. Content. Policy directives should be no more than three pages in length (including the attachment required in Section 4.5). Do not include a table of contents. Include sections with the information identified below.
- 4.1 Introduction. Provide a brief explanation of the need for the activity area covered by the directive. Close with a one-sentence summary of the purpose and scope of the directive.
- 4.2 Objective. Provide a short description of the purpose of the activity area as it is carried out by NMFS.
- 4.3 Authorities and Responsibilities. Begin with the words “This directive establishes the following authorities and responsibilities:” After that, use subsections to describe the role each NMFS level has in the activity area.

4.4 Measuring Effectiveness. Provide a brief description of the measures that will be used to determine whether the objective stated in 4.2 has been attained.

4.5 References. Select one of the following two options for including references. At the end of the directive, state:

1. “This policy directive is supported by the references and glossary of terms listed in Attachment 1.” Provide an Attachment 1 listing all procedural directives linked to the policy directive.

or

2. “Procedural directives will be issued to implement this policy as needed.”

In Attachment 1, whichever option is selected, include a glossary for all policy-related terms used in the directive.

4.6 Signature and Date Line. The signature and date line begins four lines beneath the last line of the policy directive narrative. Generally, the line should be 45 spaces long (or extend from the 1 inch position to the 4.75 inch position). The AA’s name and title should be directly under the line and flush at the left margin. The word “Date” should be at the 3.67 inch position under the line. However, the line may be extended, as needed, for a name and date that overrun or crowd the specified 45 spaces.

5. Development, Coordination, and Approval. OPRs at NMFS Headquarters will develop and provide updates to policy directives. Depending on the nature of the policy, development of the original draft(s) may be done entirely within the OPR, by an intra-agency workgroup, or some other arrangement involving more than one office (including Science Centers and Regional Offices). Regardless of the staffing associated with developing the policy, the AA will assign the lead for development, coordination and approval to one OPR.

All initial policy directives will pass through the coordination and review sequence described in this section. The process for renewals is described in Section 6.

5.1 Coordination. The OPR sends a draft policy directive for review by senior directors in all NMFS offices. Offices are defined as NMFS Headquarters offices, Regional Offices, and Science Centers. Senior directors include Office Directors, Regional Administrators, Science Center Directors, and the deputies from each office or center. Directors are given at least 15 working days to e-mail comments on the draft version to the OPR, with a copy to all other offices. Responses take two forms: acceptance as written, or acceptance with recommended changes. If an office does not respond by the close of business on the due date, it is presumed to accept the directive as written. The OPR collects and evaluates the responses. If all responses indicate acceptance as written, the certifying official certifies that the directive is ready for General Counsel review. Otherwise, further coordination occurs as necessary and as time permits to produce a consensus version.

Instructions for assembling the PDS policy directives package are available in the Toolkit at <http://www.nmfs.noaa.gov/directives/toolkit/toolkit.htm>. A routing/correspondence control sheet is required for coordination of policy directives.

5.2 Dispute Resolution. When responses from one or more offices indicate acceptance with recommended changes, the OPR has the option to prepare a revised version incorporating the changes. Disputes are resolved at the lowest possible level, and the OPR seeks to develop consensus when preparing a final version. However, the OPR is not obligated to indefinitely delay the directive implementation process until a consensus can be reached.

When one or more office is known to still have a dissenting opinion, the OPR includes a point paper in the package to be submitted to the AA for final approval. This point paper identifies the dissenting party(ies) and the major area(s) of disagreement, and includes an explanation for the text ultimately used. As a courtesy, the OPR should share the point paper with all other offices, along with the final version of the directive. This communicates the reason(s) for the disagreement and the final choice of text.

5.3 General Counsel and Public Review. The OPR sends a certified policy directive to the General Counsel for Fisheries (GCF) for legal clearance. All comments, including dissenting comments, are included in the GCF package. The OPR incorporates changes from GCF, as appropriate. If the directive is to be subject to public comment and/or review, the OPR coordinates this and incorporates changes as appropriate. If substantial changes are made as a result of the public review, the OPR sends the directive to all offices again as described in Section 5.1.

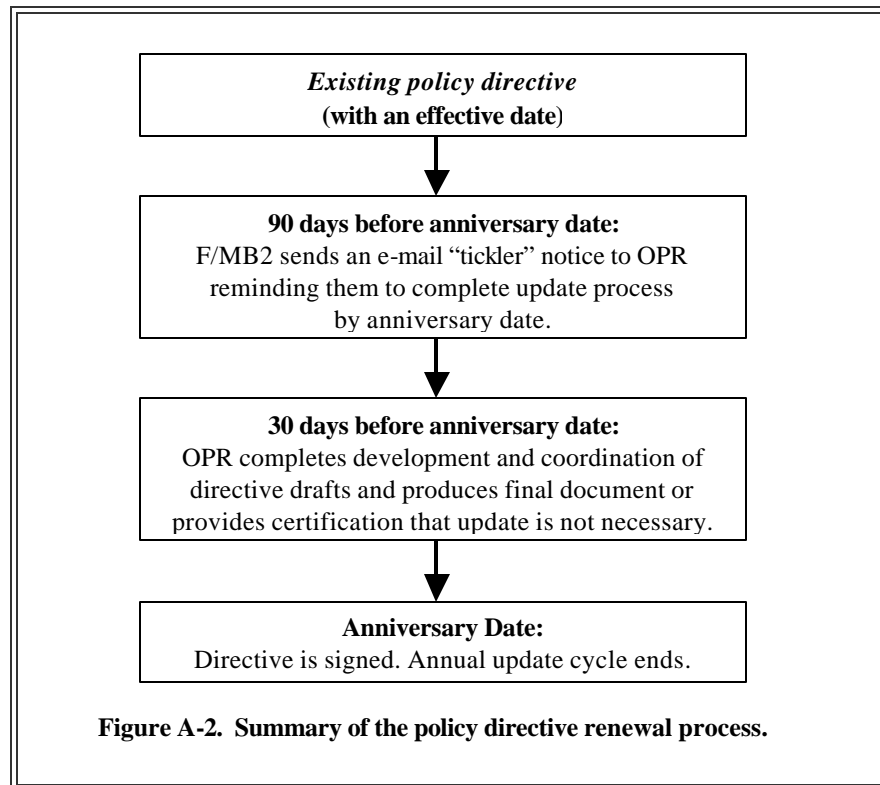
5.4 Approval. The OPR prepares a package (i.e., file folder) for approval according to F/OP guidelines. Mandatory packaging requirements are posted in the Toolkit of the PDS home page at <http://www.nmfs.noaa.gov/directives/toolkit/toolkit.htm>. This package includes the directive and responses received from all offices. One package is prepared for each directive. Directives should not be combined in folders. F/OP reviews this package within five days. F/OP then forwards the directive to the AA. The AA considers comments, including dissenting comments, in deciding whether or not to approve the directive.

A policy directive becomes official when the AA (or his designee) signs the official hard copy on the banner page. F/OP enters the effective date (normally 14 calendar days after the signature date) on the official hard copy, assigns the directive a number using the instructions in Appendix D, and advises the OPR the directive has been signed. The OPR then enters the effective date and directive number on the banner page and header of the electronic version. The OPR also enters the term “signed” and the date on the signature line, and provides F/OP with a copy of the approved directive as a .pdf (Portable Document Format) file. F/OP posts the directive on the PDS Web site within three working days. F/OP maintains the signed hard copy of each policy directive along with a copy of the coordination/clearance sheet and any other essential coordination documentation. Official signed copies are permanent Federal records and will be archived following NOAA and National Archives guidelines.

6. Issuance Types.

- 6.1 Initial. Each policy directive will have a first issuance under the PDS. These initial issuances are coordinated as outlined in Appendix A, Sections 5.1 through 5.4.
- 6.2 Renewal. Each policy directive will undergo an annual review process based on the effective date of the directive. The effective date begins a one-year period known as the annual review cycle. The annual review cycle will be completed by the anniversary date of the directive, which is one year from its effective date. The OPR may also conduct an unscheduled update of a directive before the anniversary date if circumstances warrant such a change (for example, if the existing policy directive conflicts, competes or is inconsistent with guidance in new legislation or regulations.)

The renewal process is summarized in Figure A-2 and described in Sections 6.2.1 and 6.2.2.



6.2.1 Recommendations for Update. At any time during the first nine months of a policy directive's annual review cycle, management at any office may notify the OPR of any recommended changes to the directive.

6.2.2 Update Process. Approximately ninety calendar days prior to a directive's anniversary date, F/OP sends a notice reminding the OPR to complete the update process before the end of the annual

cycle. The OPR evaluates any update recommendations received from offices during the first nine months of the annual cycle.

If no update recommendations were received from other offices by 90 calendar days before the anniversary date and the OPR could not identify the need for an update, a directive may stand without modification through the year's annual cycle. When a directive does not require an update, the OPR provides a certification memorandum, signed by the directive certifying official (i.e., Office Director), to F/OP by day 60 of the 90-day update period indicating the directive was reviewed and is current. A policy directive certification memorandum template is available at the PDS Web site Toolkit at <http://www.nmfs.noaa.gov/directives/toolkit/toolkit.htm>. The signed certification memorandum is electronically sent to F/OP in .pdf format for posting at the PDS Web site. When converting the document to .pdf format, the OPR assigns an appropriate file naming convention number using the instructions provided in Appendix D.

If update recommendations have been received by 90 calendar days before the anniversary date, or if the OPR identifies the need for an update, then one of two situations occurs. In the first situation, the OPR will complete staff work to update a directive by day 60 in the 90-day update period. This includes coordination with other offices (Section 5.1) as well as dispute resolution (Section 5.2). The last 30 calendar days of the 90-day period are reserved for GCF coordination (Section 5.3) and signature by the AA (Section 5.4).

The OPR should begin coordinating a first draft by the 10th working day in the 60-day staff work period. A complete document is coordinated which has the areas revised during this update cycle indicated with redline and strikeout. When the coordination process is finished, a complete document with changed areas marked is provided for GCF review.

The effective date (14 calendar days after signature) is entered in the banner page and header and serves as the new anniversary date for the next annual review cycle. This is followed by the final approval process as outlined in Section 5.4.

In the second situation, the OPR may recommend not to update a directive even when an office has requested a change if circumstances (e.g., legislative) dictate the need for it to remain unmodified. In this case, the unchanged directive, the comments received by other offices, and a statement from the OPR as to why the suggested change should not be incorporated are sent to GCF for review and then to the AA. The AA signs the certification memorandum in this case (rather than the Office Director).

In all cases, the OPR may request a waiver from F/OP if a directive cannot be updated by the end of the annual review cycle. Such requests briefly state the reason additional time is needed and include a new completion date.

7. Recision. A policy directive will be rescinded when it is no longer needed. The procedures outlined in Section 5 on development, coordination, and approval should be followed for rescisions of policy directives. Only the AA for NMFS can rescind a policy directive (except in an emergency

situation, see 7.1 below). The format for rescission of a policy directive is located in the PDS Web site Toolkit at: (<http://www.nmfs.noaa.gov/directives/toolkit/toolkit.htm>). The number assigned to the directive is retired when the directive is rescinded.

7.1 Emergency Rescission. In an emergency situation, the OPR may immediately rescind a policy directive and notify F/OP. F/OP distributes an e-mail notification of rescission to all PDS users and removes the directive from the PDS Web site.

## APPENDIX B - NMFS Procedural Directives

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1. Introduction. Procedural directives provide instructions and guidelines required to carry out a major activity area. Procedural directives occur in two forms:
  - a. Instructions - Instructions direct action, ensure compliance, and provide detailed procedures. Other unique types of documents fall under this classification:
    - i. Product specifications - assign responsibilities, define format, content, and issuance times of operational NMFS products (e.g., National Environmental Policy Act documents; Rulemakings; Biological Opinions; Recurring Reports (Business Reports, Program Reviews, Congressional Reports)).
    - ii. Memoranda of agreement (MOA) and memoranda of understanding (MOU) - considered to be special types of instructions. (See Section 4.7)
    - iii. Operating Agreements - written terms of reference detailing the relationships and division of labor among two or more organizational entities within NMFS.
  - b. Manuals - Manuals provide procedures used for performing standard tasks or supporting training and education programs.

The approving authority for a procedural directive is the director of the OPR.

2. Format. Follow the general format guidelines in this section for all instructions and manuals. The format used in this instruction serves as the guiding example.
  - 2.1 Margins. Set left and right margins to 1 inch. Set bottom margin to 0.6 inch. Set top margin to 1 inch for the banner page and 0.6 inch for every page thereafter.
  - 2.2 Font. Use 12 point Times New Roman font throughout the document. OPRs may diverge from this requirement and use fonts such as Courier New when necessary for product specifications or similar documents.
  - 2.3 Tabs. Except for the table of contents, tab stops should be set every 0.5 inches from the left margin.
  - 2.4 Headers. Include a header consisting of the NMFS Directive System (PDS) number and the directive's effective date. For procedural directives, the PDS number consists of "NMFSI" (for NMFS instruction) or "NMFSM" (for NMFS manual); followed by the series code, a dash, and a number indicating the directive's position within the series. The header text is bold and right justified. Suppress the header on the banner page. Templates for PDS banner pages and headers are located in the Toolkit of the PDS home page at <http://www.nmfs.noaa.gov/directives/toolkit/toolkit.htm>.



2.5 Page Numbering. Set page numbers to appear at the bottom center of each page. Suppress page numbering on the first page. For appendices, reset the page number to 1 on the first page and use format <appendix letter - page number> (e.g., A-1).

3. Banner Page. The first page of an instruction or manual consists of a banner with a yellow background followed by document information and a signature block. Figure B-1 depicts the banner format. Templates for PDS banner pages and headers are located in the Toolkit of the PDS home page at <http://www.nmfs.noaa.gov/directives/toolkit/toolkit.htm>.

Department of Commerce \$ National Oceanic & Atmospheric Administration \$ National Marine Fisheries Service	
(a.) <b>NATIONAL MARINE FISHERIES SERVICE INSTRUCTION 04-104-01</b>	
(b.) <b>SEPTEMBER 15, 2004</b>	
(c.) <b>Operations and Services</b>	
(d.) <b>Observer Program Policy, NMFSPD 04-104</b>	
(e.) <b>OBSERVER PROGRAM STANDARDS AND GUIDELINES</b>	
(f.) <b>NOTICE:</b> This publication is available at: <a href="http://www.nmfs.noaa.gov/directives/">http://www.nmfs.noaa.gov/directives/</a> .	
(g.) <b>OPR:</b> F/ST (D. Hansford)	(i.) <b>Certified by:</b> F/ST4 (V. Cornish)
(h.) <b>Type of Issuance:</b> Initial.	
(j.) <b>SUMMARY OF REVISIONS:</b>	
(k.) _____	
Douglas DeMaster, Ph.D.	Date
Director, Office of Science and Technology	

**Figure B-1. Sample banner format for a procedural directive.**

Fill in the banner with the directive information as follows:

- a. **PDS Procedural Directive Title and Number** - The title will consist of “NATIONAL MARINE FISHERIES SERVICE INSTRUCTION” or “NATIONAL MARINE FISHERIES SERVICE MANUAL” followed by a space and the PDS number. The PDS number will consist of the policy number and an instruction or manual number beginning with 01 and continuing up to 99. For example, the title for the first instruction under the fourth policy directive in the “04” series would be “NATIONAL MARINE FISHERIES SERVICE INSTRUCTION 04-104-01” (see Figure B-1).

Instructions and manuals should have different numbers. For example, an instruction and manual should not be identified as NMFSI 04-104-01 and NMFSM 04-104.01. They should be different (e.g., NMFSI 04-104-01 and NMFSM 04-104-02) to facilitate identification when using the electronic filing numbering system (see Appendix D).

F/MB2 assigns procedural directive numbers.

- b. **Effective Date** - Leave this blank until the directive is signed. The effective date is normally two weeks (14 calendar days) after the directive is signed by the approving authority (e.g., to allow time for implementation and/or training on a new directive). The effective date is the anniversary date for the directive.

In cases where the OPR desires the directive to become effective later than two weeks after signature, the OPR should include the rationale for the date as part of the background information accompanying the directive. The OPR should also specify the desired effective date in relative terms (i.e., 90 days after the directive is signed).

- c. **Series Title** - Title of PDS series where the directive is found. Titles are found in Figure 1 in the main body of NMFSI 30-101-01.
- d. **Policy Directive** - Name and number of policy directive being implemented.
- e. **Subject Title** - Title describing the directive's subject matter.
- f. **Notice** - The URL for the location of the document on the NMFS PDS Web site.
- g. **Office of Primary Responsibility (OPR)** - Routing code for OPR responsible for the directive followed by name of the author in parenthesis (first initial and last name).
- h. **Type of Issuance** - Term indicating type of most recent issuance. Options are:
  - (1) Initial - first issuance of directive under the PDS.
  - (2) Renewal - annual update of the directive, or unscheduled update issued in between annual updates.
- i. **Certified by** - Name of OPR's division chief or designee. Use same format as OPR block.
- j. **Summary of Revisions** - List of all documents superseded by the directive. Include the full title, issuance number, and date of the documents being superseded. If the directive is an update, summarize the major changes made from the previous version of the directive. If an initial issuance, this section should remain empty.

- k. **Signature and Date Line** - The signature and date line begins four lines beneath the last line of the Summary of Revisions. The line should be 45 spaces long (or extend from the 1 inch position to the 4.75 inch position). The name and title of the approving authority should be directly under the line and flush at the left margin). The word “Date” should be at the 3.67 inch position under the line. The line may be extended, as needed, for a name and date that overrun or crowd the specified 45 spaces.
  - l. **Banner Color** - Use the 20 percent fill setting and the standard yellow color for banner table cells containing (a) through (e).
4. **Content.** Follow the structure and content instructions outlined below for the main body following the banner page. The body of the document should begin on a new page. The title of the document should be bold and centered immediately below the header.
- 4.1 **Table of Contents.** Follow the format used in NMFSI 1-101. The table of contents should begin two lines below the title. The words “Table of Contents” should be underlined and aligned at the left margin. The word “Page” should be underlined and aligned at the right margin. Set tabs at 0.25 inch, 0.60 inch, 1.10 inch, and 1.60 inch. Place the page number for each section, subsection, sub-subsection and, should it be necessary, a fourth level subsection along the right margin using dot leaders. For a long title needing additional lines, use the same indentation as the first line and start the dot leader from the first line. The table of contents for an instruction covers only the main body of the document. Provide a separate table of contents for each appendix (if any). The table of contents for the main body of the document should include a section entitled “Appendices” along with the title of each appendix. The table of contents for a manual may cover the entire document.
- 4.2 **Structure.** Place policy-oriented material to guide decisions and actions in the main body. Distribute more detailed “how-to” information into appendices.
- 4.3 **Section Numbering and Paragraphs.** Sections, subsections, and sub-subsections are titled and structured as follows:
- n. Section Title.
  - n.n Subsection Title.
  - n.n.n Sub-subsection Title.

Under any of these levels where items are listed for emphasis or clarity, indent text at 0.5 inch steps as follows:

- a.       xxxxx xxxxxxxx xxxxxxxx xxxxxxxxxxxx xxxxxxxxxxxx xxx xxxxxxx xxxxxxx.
- (1)       xxxxx xxxxxxxx xxxxxxxx xxxxxxxxxxxx xxxxxxxxxxxx xxxx xxxxxxx xxxxxxx.

(a)       XXXXX XXXXXXXX XXX XX XXXXXXXX XXXXXXXXXXXX XXXX XXXXXXXX XXX.

4.4     Tables and Figures. Tables or graphics may be placed at any location within an instruction or manual. Number tables and figures serially in the main body of the directive. In appendices, include their letter in serial numbering, i.e., “<appendix letter>-<figure number>.”

4.5     Forms. OPRs are responsible for continuing the use of existing forms or creating new forms. New forms created for a directive should have a corresponding PDS directive number. The OPR is responsible for maintaining and distributing the form(s). Existing forms will remain in use until replaced by an OPR. All forms must be consistent with relevant NOAA Administrative Orders (NAOs) or Department Administrative Orders (DAOs). (See DAO 205-10 and NAO 205-10.)

4.6     Appendices. Use appendices in instructions or manuals as necessary. Follow the format used in this and other appendices of the parent instruction.

4.7     Special Instructions for MOA/MOUs. MOA/MOUs referenced in or relevant to policy and procedural directives must be filed as procedural directives. The procedural directive includes a banner page followed by an introduction explaining the background of the document. Follow the introduction with a list of people who signed the memoranda and the entities they represent. Then include a copy of the MOA/MOU as an Appendix.

5.     Development, Coordination, and Approval. OPRs at NMFS Headquarters will develop and provide updates to procedural directives. Depending on the nature of the procedural directive, development of the directive may be done entirely within the OPR, by an intra-agency workgroup, or by some other arrangement involving more than one office (including Science Centers and Regional Offices). The lead for drafting the directive may be assigned to a Science Center or Regional Office with extensive interest or expertise; however, the OPR associated with the parent policy retains responsibility for final coordination and approval of the procedural directive. With the exception of MOA/MOUs, all initial issuances of procedural directives will pass through the coordination and review sequence described in this section. The process for renewing procedural directives is described in Section 6.

5.1     Coordination. The OPR sends a draft version of a procedural directive for review by counterparts in all offices. Offices are defined as NMFS Headquarters offices, Regional Offices, and Science Centers. Counterparts are managers in those offices who oversee specific functional areas. Counterparts are given at least 15 working days to e-mail comments on the draft version to the OPR, with a copy to all other offices. Responses take two forms: acceptance as written, or acceptance with recommended changes. If an office does not respond by the close of business on the due date, it is presumed to accept the directive as written. The OPR collects and evaluates the responses. If all responses indicate acceptance as written, the certifying official certifies the directive is ready for General Counsel review. Otherwise, further coordination occurs as necessary and as time permits to produce a consensus version. A routing/correspondence control sheet is required for coordination of procedural directives.

5.2 Dispute Resolution. When responses from one or more offices indicate acceptance with recommended changes, the OPR has the option to prepare a revised version incorporating the changes. Disputes are resolved at the lowest possible level, and the OPR seeks to develop consensus when preparing a final version. However, the OPR is not obligated to indefinitely delay the directive implementation process until a consensus can be reached.

When one or more office is known to still have a dissenting opinion, the OPR includes a point paper in the package to be submitted for final approval. This point paper identifies the dissenting party(ies) and the major area(s) of disagreement, and includes an explanation for the text ultimately used. The OPR should share the point paper with all other offices, along with the final version of the directive. This communicates the reasons for the disagreement and the final choice of text.

5.3 General Counsel and Public Review. The OPR sends the certified version of a procedural directive to the General Counsel for Fisheries (GCF) for legal clearance. All comments, including dissenting comments, are included in the GCF package. The OPR incorporates changes from GCF, as appropriate. If the directive is to be subject to public comment and/or review, the OPR coordinates this and incorporates changes as appropriate. If substantial changes are made as a result of the public review, the OPR sends the directive to all offices again as described in Section 5.1.

5.4 Approval. A package for approval of the directive is prepared according to the OPR's guidelines. This package includes the directive and responses from all offices. The approving official considers comments, including dissenting comments, in deciding whether or not to approve the directive. A procedural directive becomes official when the approving authority signs the official hard copy on the banner page. Only one directive should be included in each package (or file folder) sent to F/MB2. Directives should not be combined in folders. F/MB2 enters the effective date on the official hard copy and assigns the directive a number following the instructions in Appendix D. The OPR then enters the effective date and the assigned number on the banner page and header of the electronic version. The OPR also enters the term "signed" and the date on the signature line, and provides F/MB2 with a copy of the approved directive as a .pdf (Portable Document Format) file. F/MB2 posts the directive on the PDS Web site within three working days. F/MB2 maintains the signed hard copy of each procedural directive along with a copy of the coordination/clearance sheet and any other essential coordination documentation. Official signed copies are permanent Federal records and will be archived in accordance to NOAA and National Archives guidelines.

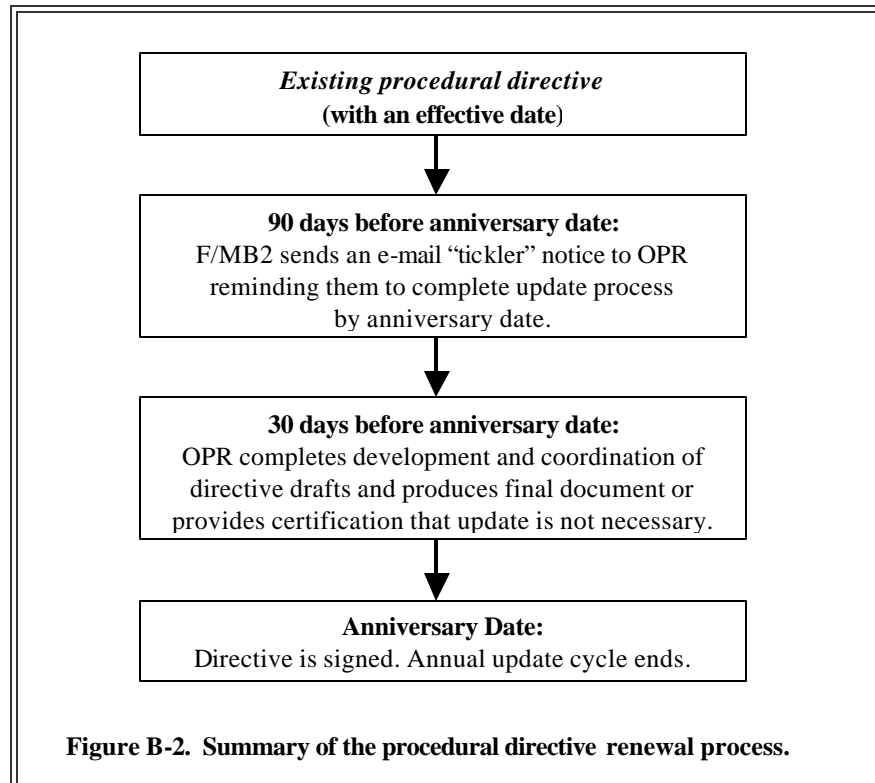
## 6. Issuance Types.

6.1 Initial. Each procedural directive will have a first issuance under the PDS. These initial issuances are coordinated as outlined in Appendix B, Sections 5.1 through 5.4.

6.2 Renewal. Each procedural directive will undergo an annual review process based on the annual anniversary effective date of the directive. The effective date begins a one-year period known as the annual review cycle. The annual review cycle will be completed by the anniversary date of the

directive, which is one year from its effective date. The OPR may also conduct an unscheduled update of a directive before the anniversary date if circumstances warrant such a change (for example, if the existing procedural directive conflicts, competes or is inconsistent with guidance in new legislation, regulations or policies.)

The renewal process is summarized in Figure B-2 and described in Sections 6.2.1 and 6.2.2.



**6.2.1 Recommendations for Update.** At any time during the first nine months of a procedural directive’s annual review cycle, management at another office may notify the OPR of any recommended changes to the directive

**6.2.2 Update Process.** Approximately ninety calendar days prior to a directive’s anniversary date, F/MB2 sends a notice reminding the OPR to complete the update process before the end of the annual cycle. The OPR evaluates any update recommendations received from other offices during the first nine months of the annual cycle. If no update recommendations were received from other offices by 90 calendar days before the anniversary date and the OPR could not identify the need for an update, a directive may stand without modification through the annual cycle. The OPR may decide not to update a directive even when another office has requested a change if circumstances dictate the need for it to remain unmodified. When a directive does not require an update, the OPR provides a certification memorandum, signed by the directive certifying official (i.e., division chief), to F/MB2 by day 60 of the 90-day update period indicating the directive was reviewed and is current. A procedural directive certification memorandum template is available at the PDS Web site Toolkit at <http://www.nmfs.noaa.gov/directives/toolkit/toolkit.htm>. The signed certification memorandum is

electronically sent to F/MB2 in .pdf format for posting at the PDS Web site. When converting the document to .pdf format, the OPR assigns an appropriate file naming convention number using the instructions provided in Appendix D.

If update recommendations have been received by 90 calendar days before the anniversary date, or if the OPR identifies the need for an update, then the OPR will complete staff work to update a directive by day 60 in the 90-day update period. This includes coordination with other offices (Section 5.1) as well as dispute resolution (Section 5.2). The last 30 calendar days of the 90-day period are reserved for GCF coordination (Section 5.3) and signature by the Office Director (Section 5.4).

The OPR should begin coordinating a first draft by the 10th working day in the 60-day staff work period. A complete document is coordinated which has the areas revised during this update cycle indicated with redline and strikeout. When the coordination process is finished, a complete document with changed areas marked is provided for GCF review.

The effective date (14 calendar days after signature) is entered in the banner page and header and serves as the new anniversary date for the next annual review cycle. This is followed by the final approval process as outlined in Section 5.4.

The OPR may request a waiver from F/MB2 if a directive cannot be updated by the end of the annual review cycle. Such requests briefly state the reason additional time is needed and include a new completion date.

7. Recision. A procedural directive will be rescinded when it is no longer needed. The procedures outlined in Section 5 on development, coordination, and approval should be followed for recisions of procedural directives. Only the approving authority for the procedure can rescind the procedural directive. The format for recision of a procedural directive can be found in the PDS Web site Toolkit (<http://www.nmfs.noaa.gov/directives/toolkit/toolkit.htm>). The number assigned to the directive is retired when the directive is rescinded.

7.1 Emergency Recision. In an emergency situation, the OPR may immediately rescind a procedural directive and notify F/MB2. F/MB2 distributes an e-mail notification of recision to all PDS users and removes the directive from the PDS Web site.

## APPENDIX C - NMFS Supplements

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1. Introduction. Supplements provide guidelines needed to adapt procedural directives to specific issues addressed by NMFS Headquarters Offices, Regional Offices, Science Centers or other field offices. The approving authority for supplements is the Office Director, Regional Administrator or Science Director corresponding to these offices.
2. Format. Follow the general format guidelines in this section for all supplements.
  - 2.1 Margins. Set left and right margins to 1 inch. Set bottom margin to 0.6 inch. Set top margin to 1 inch for the banner page and 0.6 inch for every page thereafter.
  - 2.2 Font. Use 12 point Times New Roman font throughout the document. OPRs may diverge from this requirement and use fonts such as Courier New when necessary for product specifications or similar documents.
  - 2.3 Tabs. Except for the table of contents, tab stops should be set every 0.5 inches from the left margin.
  - 2.4 Headers. Include a header consisting of the PDS number and the supplement's effective date. The header text is bold and right justified. Suppress the header on the banner page. An example of a supplement header is: NMFS 04-104-01-01-NER November 14, 2004. (See Section 3a for additional information on the supplement title and number.) Templates for PDS banner pages and headers are located in the Toolkit of the PDS home page at <http://www.nmfs.noaa.gov/directives/toolkit/toolkit.htm>.
  - 2.5 Page Numbering. Set page numbers to appear at the bottom center of each page. Suppress page numbering on the first page. For appendices, reset the page number to 1 on the first page and use format <appendix letter - page number> (e.g., A-1).
3. Banner Page. The first page of a supplement consists of a banner with a green background followed by document information and a signature block. Figure C-1 depicts the banner format. Templates for PDS banner pages and headers are located in the Toolkit of the PDS home page at <http://www.nmfs.noaa.gov/directives/toolkit/toolkit.htm>.

Department of Commerce \$ National Oceanic & Atmospheric Administration \$ National Marine Fisheries Service	
(a.) <b>NATIONAL MARINE FISHERIES SERVICE NORTHEAST SUPPLEMENT</b> <b>04-104-01-01-NER</b> (b.) <b>NOVEMBER 14, 2004</b>	
(c.) <b>Operations and Services</b> (d.) <b>Observer Program Policy, NMFSPD 10-4</b> (e.) <b>Observer Program Standards and Guidelines, NMFSI 10-401</b>	
(f.) <b>DATA COLLECTION STANDARDS IN NE GROUND FISH FISHERIES</b>	
(g.) <b>NOTICE:</b> This publication is available at: <a href="http://www.nmfs.noaa.gov/directives/">http://www.nmfs.noaa.gov/directives/</a> .	
(h.) <b>OPR:</b> F/NER (J. Doe)	(j.) <b>Certified by:</b> F/NERx2 (B. Ware)
(i.) <b>Type of Issuance:</b> Renewal.	
(k.) <b>SUMMARY OF REVISIONS:</b> This directive issues additional guidance regarding data collection standards unique to the Northeast region's groundfish fisheries.	
(l.) _____ Patricia A. Kurkul Regional Administrator, Northeast Regional Office	
Date	

**Figure C-1. Sample banner format for a supplement.**

Fill in the banner with the directive information as follows:

- a. **PDS Supplement Title and Number** - The title will consist of "NATIONAL MARINE FISHERIES SERVICE<Region/Office Name> SUPPLEMENT For example, the title for the third Northeast Region supplement during the year 2004 which supplements NMFSI 10-401 would be: "NATIONAL MARINE FISHERIES SERVICE NORTHEAST SUPPLEMENT." The supplement number start with the procedural directive being supplemented, followed by a dash and a 2-digit designation for the number of the supplement (e.g., the first supplement to the procedure is '01'), followed by another dash and a 3-character designation for the office sponsoring the supplement. For NMFS regions, use the three-letter abbreviation for the office designation B e.g., "NER" for Northeast Regional Office, "PIC" for Pacific Islands Science Center, etc.

**Example:** Northeast Region issues its first supplement applying to Instruction 04-104-01. The supplement number on the banner is:

NATIONAL MARINE FISHERIES SERVICE NORTHEAST SUPPLEMENT  
04-104-01-01-NER

F/MB2 assigns supplement numbers.

- b. **Effective Date** - Leave this blank until the directive is signed. The effective date is normally two weeks (14 calendar days) after the directive is signed by the approving authority (e.g., to allow time for implementation and/or training on a new directive). The effective date is the anniversary date for the directive.

In cases where the OPR desires the directive to become effective later than two weeks after signature, the OPR should include the rationale for the date as part of the background information accompanying the directive. The OPR also should specify the desired effective date in relative terms (i.e., 90 days after the directive is signed).

- c. **Series Title** - Title of PDS series where the supplement is found. Titles are found in Figure 1 in the introduction to NMFSI 30-101-01.
- d. **Policy Directive** - Name and number of the policy directive being implemented.
- e. **Procedural Directive** - Name and number of the procedural directive being supplemented.
- f. **Subject Title** - Name describing the supplement's subject matter.
- g. **Notice** - The URL for the location of the document on the NMFS PDS Web site.
- h. **Office of Primary Responsibility (OPR)** - Routing code for NMFS Headquarters Office, Regional Office or Science Center responsible for the supplement followed by name of the author (first initial and last name).
- i. **Type of Issuance** - Term indicating type of most recent issuance. Options are:
- (1) Initial - first issuance of supplement under the PDS.
  - (2) Renewal - annual update of the supplement, or unscheduled update issued between annual updates.
- j. **Certified by** - Name of manager of the organizational unit which developed the supplement. For a field office, this could be the same as the approving authority. Use the same format as OPR block.
- k. **Summary of Revisions** - List of all documents superseded by the supplement. Include the full title, issuance number, and date of the documents being superseded. If the supplement is an update, summarize the major changes made from the previous version of the supplement.

- l. **Signature and Date Line** - The signature and date line begins four lines beneath the last line of the Summary of Revisions. The line should be 45 spaces long (or extend from the 1 inch position to the 4.75 inch position). The name and title of the approving authority should be directly under the line and flush at the left margin. The word “Date” should be at the 3.67 inch position under the line. The line may be extended, as needed, for a name and date that overrun or crowd the specified 45 spaces.
  - m. **Banner Color** - Use the 20 percent fill setting and the standard green color for banner table cells containing (a) through (f).
4. **Content.** Follow the structure and content instructions outlined in Section 4.1 for the main body following the banner page. The body of the document should begin on a new page. The title of the document should be bold and centered immediately below the header.
- 4.1 **Table of Contents.** Follow the format used in the parent instruction. The table of contents should begin two lines below the title. The words “Table of Contents” should be underlined and aligned at the left margin. The word “Page” should be underlined and aligned at the right margin. Set tabs at 0.25 inch, 0.60 inch, 1.10 inch, and 1.60 inch. Place the page number for each section, subsection, sub-subsection and, should it be necessary, a fourth level subsection along the right margin using dot leaders. For a long title needing additional lines, use the same indentation as the first line and start the dot leader from the first line. The table of contents for a supplement covers only the main body of the document. Provide a separate table of contents for each appendix (if any). The table of contents for the main body of the document should include a section entitled “Appendices” along with the title of each appendix.
- 4.2 **Structure.** Place policy-oriented material to guide decisions and actions in the main body. Distribute more detailed “how-to” information into appendices.
- 4.3 **Section Numbering and Paragraphs.** Sections, subsections, and sub-subsections are titled and structured as follows:
- n. **Section Title.**
  - n.n **Subsection Title.**
  - n.n.n **Sub-subsection Title.**

Under any of these levels where items are listed for emphasis or clarity, indent text at **2** inch steps as follows:

- a.       xxxxx xxxxxxxx xxxxxxxx xxxxxxxxxxxx xxxxxxxxxxxx xxx xxxxxxx xxxxxxx.
- (1)       xxxxx xxxxxxxx xxxxxxxx xxxxxxxxxxxx xxxxxxxxxxxx xxx xxxxxxx xxxxxxx.

(a) XXXXX XXXXXXXX XXX XX XXXXXXXX XXXXXXXXXXXX XXXX XXXXXXXX XXX.

4.4 Tables and Figures. Tables or graphics may be placed at any location within a supplement. Number tables and figures serially in the main body of the supplement. In appendices, include their letter in serial numbering, i.e., “<appendix letter>-<figure number>.”

4.5 Forms. OPRs are responsible for continuing the use of existing forms or creating new forms. New forms created for a supplement should have a corresponding PDS directive number. The OPR is responsible for maintaining and distributing the form(s). Existing forms will remain in use until replaced by an OPR. All forms must be consistent with relevant NOAA Administrative Orders (NAOs) or Department Administrative Orders (DAOs). (See DAO 205-10 and NAO 205-10.)

4.6 Appendices. Use appendices in supplements as necessary. Follow the format used in this and other appendices of the parent instruction.

4.7 Special Instructions for MOA/MOUs. Memoranda of Agreement/Memoranda of Understanding MOA/MOUs referenced in or relevant to the supplement must be filed with the supplement.

5. Development, Coordination, and Approval. Regional Offices, Science Centers and field offices are the OPRs which may develop supplements.

5.1 Regional Supplements. Supplements to be issued by OPRs in Regional Offices, Science Centers or field offices are coordinated with other affected NMFS organizations (i.e., Headquarters offices, Regional Offices, Science Centers). The coordination and approval process of regional supplements is less formal than for policy and procedural directives.

If the supplement is relevant only to the issuing OPR, the OPR will send the supplement to all of its counterpart offices (e.g., if the issuing OPR is a Science Center, the supplement is sent to all other Science Centers) as a courtesy but not for review. The supplement is sent for review to the OPR sponsoring the parent procedural directive. If the supplement is or could be relevant in other regions, then the draft supplement is sent to all counterpart offices for review, as well as to the OPR sponsoring the parent procedural directive.

At least 15 working days are allowed for comments. If an office does not respond by the close of business on the due date, it is assumed to accept the supplement as written. More than one iteration of the draft/review process may be necessary, but the OPR works to develop a consensus version.

If there is a potential for multiple offices to develop supplements that are inconsistent with one another, then this issue is raised to the OPR that issued the parent procedural directive. The Headquarters OPR responsible for managing the functional area addressed by the supplement will have the final decision authority on matters of conflict with national policy and procedures, and in ensuring consistency across regions. It is suggested that as a courtesy, the OPR prepare and share a point paper with other offices,

along with the final version of the directive, to communicate the reasons for any disagreement and the final choice of text.

No General Counsel clearance is required. If the directive is to be subject to public comment and/or review, the regional OPR coordinates this and incorporates changes as appropriate. If substantial changes are made as a result of the public review, the OPR sends the directive to all counterpart offices again as described in Section 5.1.

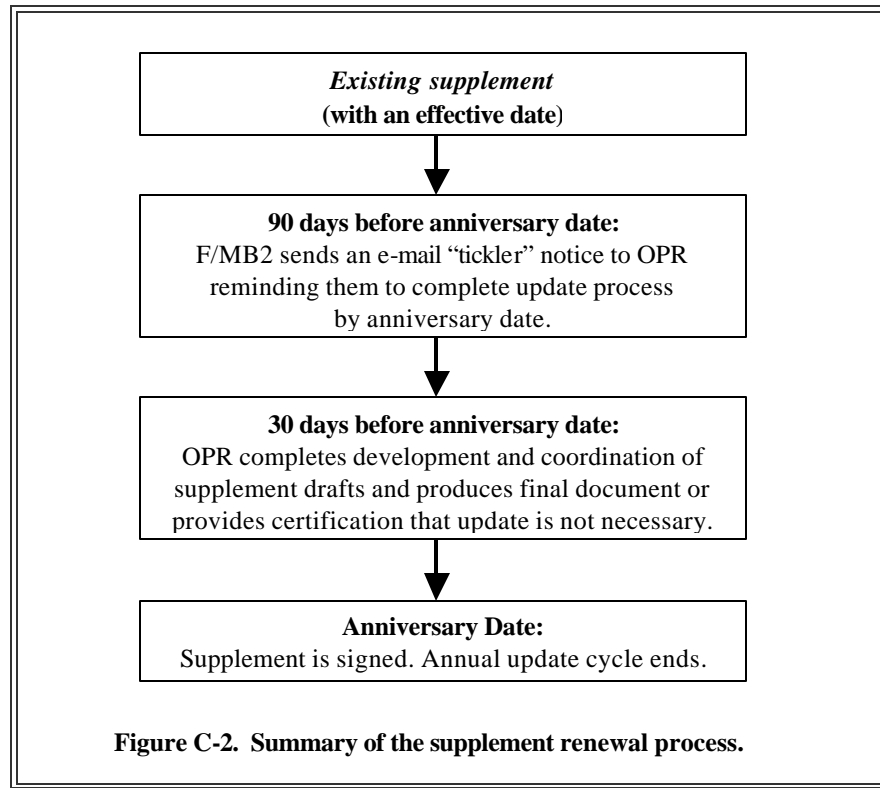
A supplement becomes official when the approving authority signs the official hard copy on the banner page. The OPR enters the effective date on the banner page and header of the electronic version of the official hard copy. The OPR also enters the term “signed” and the date on the signature line. The OPR then provides an electronic copy as a .pdf (Portable Document Format) file to the Office of Policy (F/OP) for posting on the PDS Web site along with official notification from the approving authority that the supplement was signed.

When converting the document to a .pdf file, the OPR assigns an appropriate file naming convention number using the instructions provided in Appendix D. F/MB2 posts the supplement on the PDS Web site within two working days. The OPR maintains the signed hard copy of each supplement. Official signed copies are permanent Federal records and will be archived in accordance to NOAA and National Archives guidelines when no longer needed.

## 6. Issuance Types.

6.1 Initial. Each supplement will have a first issuance under the PDS. These initial issuances are coordinated as outlined in Section 5.

6.2 Renewal. Each supplement will undergo an annual review process. This annual review process is based on the directive's effective date. The effective date begins a one-year period known as the annual review cycle. The annual review cycle will be completed by the anniversary date of the directive, which is one year from its effective date. The annual review process for supplements is specified by the developing OPR. The OPR may also conduct an unscheduled update of a directive before the anniversary date if circumstances warrant such a change (for example, if the existing supplement conflicts, competes or is inconsistent with guidance in new legislation, regulations or procedural directives.)



If the OPR decides not to update a supplement, the OPR provides a certification memorandum, signed by the supplement certifying official, to F/MB2 by day 60 of the 90-day update period indicating the directive was reviewed and is current. A supplement certification memorandum template is available at the PDS Web site Toolkit at <http://www.nmfs.noaa.gov/directives/toolkit/toolkit.htm>. The signed certification memorandum is electronically sent to F/MB2 in .pdf format for posting at the PDS Web site.

An example of the annual review cycle is provided in Figure C-2.

7. **Recision.** All supplements remain in effect until officially superseded or rescinded by the OPR. A supplement will be rescinded when it is no longer needed. The applicable procedures outlined in Section 5 on development, coordination, and approval should be followed for recisions of supplements. The number assigned to the directive is retired when the directive is rescinded.

7.1 **Emergency Recision.** In an emergency situation, the OPR may immediately rescind a supplement and notify F/MB2. F/MB2 distributes an e-mail notification of recision to all PDS users and removes the supplement from the PDS Web site.

## APPENDIX D - PDS Electronic Filing Numbering System

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1. Introduction. A file naming convention is required for file management and indexing. The file name is based on the PDS numbering scheme and is used to save, transmit, and post documents electronically. When a document is converted to a .pdf (Portable Document File) file following signature, it will be named using the method described in this Appendix before transmission to the Office of Policy (F/OP) for posting. The numbering system for policies, procedures, and supplements described in Appendices A through C is not changed. Banners are not changed.

2. Responsibilities. F/MB2 is responsible for assigning appropriate file names using the directions provided in this Appendix prior to posting documents on the PDS home page.

3. Format. PDS policy and procedures identify only the functional area and directive number. The file names are based on the numbers used in the banners to identify the directive.

3.1 File Name. Each file name begins with “pd” and ends in “.pdf.” The “pd” is followed by 5 numbers and one character for policies; 8 numbers and one character for instructions and manuals; and a combination of 14 numbers and four characters for supplements. Use lower case letters for characters (e.g., pd, .pdf). When Adobe Acrobat is used to convert the file to .pdf, the file extension “.pdf.” is automatically assigned.

3.1.1 Policy Directives. Using NMFSPD 1-1 as an example:

- a. The first and second numbers describe the functional area as described in Figure 1 (01-99).
- b. The third, fourth and fifth numbers of the file name describe the policy directive number (101-999).
- c. All file names end with “.pdf.”

File naming example for NMFSPD 30-101: 30-101.pdf

3.1.2 Procedural Directives. Using NMFSI 30-101-01 as an example:



- a. The first and second numbers describe the functional area as described in Figure 1 (01-99).
- b. The third, fourth and fifth numbers of the file name describe the policy directive number (101-999).
- c. The sixth and seventh numbers of the file name are added for procedural directives and describe the procedural directive number (01-99).
- d. All file names end with “.pdf.” (All files should be saved as .pdf documents.)

File naming example for NMFSI 30-101-01: 30-101-01.pdf

3.1.3 Supplements. Supplement file names identify the issuing Regional Office or Science Center and the supplement number. Additional characters and numbers are added to the above to identify supplements. Using NMFS NER Supplement applicable to NMFSI 30-101-01 as a hypothetical example:

- a. The first and second numbers describe the functional area as described in Figure 1 (01-99).
- b. The third, fourth and fifth numbers of the file name describe the policy directive number (101-999).
- c. The sixth and seventh numbers of the file name are added for procedural directives and describe the procedural directive number (01-99).
- d. After the seventh number, the 2-digit supplement number is added (01-99)
- e. After the ninth number, the 3-character office identifier is added (e.g., “NER” for Northeast Regional Office, “SWC” for Southwest Science Center, etc.).
- f. After the identifier, the number of the supplement is added – 052003.
- g. All file names end with “.pdf.”

File naming example for NMFS NER Supplement applicable to NMFSI 30-101-01 is: 30-101-01-01-NER.pdf

3.1.4 Certification Memoranda. Certification memoranda use the same file naming convention as described above but the filename is prefaced with “cert” and the date is included in parentheses.

For example, the file naming convention for a certification memorandum dated September 3, 2005, for the policy directive NMFSPD 30-101 is: cert (September 3, 2005)30-101.pdf.

A certification memorandum dated September 3, 2005, for NMFSI 1-101 would be: cert(September 3, 2005)30-101-01.pdf

A certification memorandum dated April 15, 2005, for NMFS NE Supplement 30-101-01-01-NER would be: cert(April 15, 2005)30-101-01-01-NER.pdf

3.2 Formula. The formula for the file naming convention is:

Formula	Functional Area	Policy Number	Procedure (Manual or Instruction) Number	Supplement Number	Region Identifier (offices and centers)	.pdf
Characters/ Numbers	00 (01, 02, 03, 04, 05, 06, 07, 30, 31, 32, 33, 34, 35, 36, 37, 38, 39 ... 99 )	000 (101 - 999)	00 (001 - 99)	00 (01-99)	NER, NEC SER, SEC SWR, SWC PIR, PIC NWR, NWC AKR, AKC	.pdf
Example: NMFSPD 30- 101	30	101				.pdf
Example: NMFSI 30-101- 01	30	101	01			.pdf
Example: <i>NMFS NER Supplement applicable to NMFSI 30-101- 01</i>	30	101	01	01	NER	.pdf

Additional examples:

The file name for NMFSPD 10-5 is: pd01005a.pdf

The file name for the 3<sup>rd</sup> version of NMFSPD 60-1 is: pd06001c.pdf

The file name for NMFSI 10-366 is: pd01003066a.pdf

The file name for NMFS NER Supplement 03-2002 applicable to NMFSI 10-925 is:  
pd01009025ner032002a.pdf